



2003 ANNUAL REPORT

Letter from Chairman & President

Dear Governor Huckabee & Distinguished Legislators:

The Board of Directors and staff of the Arkansas Science & Technology Authority are pleased to submit to you the Authority's "Fiscal Year 2003 Annual Report." The report summarizes the scientific and technological projects by which the Authority carries out its statutory mission to bring the benefits of science and advanced technology to the people and State of Arkansas.

The Authority's overall objective for Fiscal Year 2003 (FY03) as described in the Board's Strategic Plan was to plan, promote, influence, and support the commercialization of research innovations through high quality programs and services, thereby helping to grow the Arkansas economy and increase per capita income. The Board reviewed and adopted four goals, and the Authority carried out these corresponding activities during the fiscal year.

Goal 1 – Stimulate the higher-education research infrastructure to generate more innovations through research and educational activities, around which to develop new products and knowledge-based companies. For the second consecutive year, no funds were received for the Basic Research Grant Program; therefore solicitation of basic research grant proposals was suspended for the year by the Board due to the lack of funds and no investments were made in basic research.

The Authority was, however, able to promote education in middle school science and technology through a grant from the nonprofit sector. The Authority received a three-year grant of \$405,000 from the Winthrop Rockefeller Foundation in April 2002 to examine middle school student attitudes toward science in grades 5-8. This grant was divided into the Mini-grant and STUART Grant programs, which were implemented in FY03. The Mini-grant program consisted of sixty-two awards of \$500 each to Arkansas public middle schools for the purchase of materials for hands-on science experiments. A total of \$43,000 was expended for Mini-grant awards during FY03.

The second grant opportunity was a \$6,000 STUART (Science Teaching Using Audience Response Technology) Grant awarded to five Arkansas public middle schools. STUART Grant funds are used to purchase classroom remote response systems to facilitate in-class involvement in science lectures and experiments. A total of \$30,000 was expended for STUART awards in FY03.

As a continuation of the STUART and Mini-grant programs, the Authority received and processed applications for both programs in FY03 to be awarded in FY04.

Goal 2 – Promote and influence the creation of emerging knowledge-based companies and facilitate increased private equity investments in such firms, thereby creating more jobs for knowledge workers and increasing in-state employment opportunities for Arkansas college graduates.

The Board approved \$50,000 for a Technology Development Program (TDP) project. The \$50,000 TDP investment was made to Green Technologies of West Fork, Arkansas, for the further development of the "modal reciprocating pushrim-drive wheelchair." This device is a remarkable advancement in the ergonomic design of existing wheelchairs. Research for this TDP project was based on existing research developed with funding support from a FY00 Technology Transfer Assistance Grant (TTAG) program grant from the Authority and from subsequent federal funding provided through the Small Business Innovation Research (SBIR) program.

The Board also approved a \$200,000 project under the Seed Capital Investment Program (SCIP), though authorization for the SCIP project expired and was not funded in FY03. The SCIP approval was for Space Photonics, a company developed in conjunction with the University of Arkansas, Fayetteville. Space Photonics offers broadband, wireless inter-satellite and fiber-optic access to the aviation and space industry for real-time communication. Space Photonics is a client of the University of Arkansas Genesis Technology Incubator.

In related activities, Authority President John W. Ahlen published *The Keys to Growth in the New Economy: Investing in Discovery, Engineering, and Entrepreneurship*, a guide to growth in a knowledge-based economy. The book was co-authored with Mark Diggs, Chairman and CEO of Maryland-based Ontology Works, Inc. The Capital Resource Corporation, a member of the Arkansas Capital Corporation Group, funded the publication of the book. The 108-page guide outlines the practice of economic development and strategies for growth in the knowledge-based economy, including a comprehensive overview of the roles of research and development, entrepreneurship, and capital formation.

Dr. Ahlen was also a member of the Department of Economic Development's Task Force for the Creation of Knowledge-Based Jobs. The Department based the Consolidated Incentives Act of 2003, in part, on the Report of the Task Force, and the Authority supported the legislation with testimony at legislative hearings. After passage of the comprehensive measure, which gives the Authority expanded responsibility for research and development tax credits in partnership with the Department, the Authority worked with the Department closely on the implementation of the legislation.

The Authority also received a grant of \$443,750 from the Winthrop Rockefeller Foundation to fund a pilot Project for Entrepreneurship in Arkansas. This pilot project will identify critical educational and economic development indicators upon which entrepreneurship depends; develop information and policy options for entrepreneurship that would influence the performance indicators; establish a model delivery system for information; test policy options; and inventory and assess relevant public policy emerging from the 2003 legislative session. Funding for this project will span 31 months starting April 1, 2003 and ending on October 31, 2005.

The Authority was also a sponsor of the second annual Venture Capital Forum held May 21, 2003 in Little Rock, and the first annual Northwest Arkansas Venture Capital Forum held in Fayetteville on November 7, 2002. Leslie Lane, Authority Vice President Finance is a founding member of the Venture Group of Arkansas, the organizing committee for both forums.

Leslie Lane also received recognition for his dedication to economic development and support of Arkansas entrepreneurship in the form of the seventh annual Tibbetts Award and a listing on "Arkansas Business" magazine's "40 Under 40" register. The Tibbetts Award is a national award given for outstanding contribution to the Small Business Innovation Research (SBIR) program. Mr. Lane received his award at a ceremony held in Washington, D.C. on October 2, 2002. The "40 Under 40" listing is a compilation of 40 business, professional and political leaders under 40 years of age with significant achievements in their fields or communities in the state of Arkansas. Individuals honored on the list are nominated by readers of *Arkansas Business* and chosen by the magazine's editors. Mr. Lane was named to the list published in the May 19, 2003 edition of *Arkansas Business* magazine.

Goal 3 – Maintain and transform existing enterprises into knowledge-based companies and increase their global competitiveness. The Authority supported existing companies through the Technology Transfer Assistance Grant (TTAG) Program and the Arkansas Manufacturing Extension Network (Network). The Authority invested \$112,662 in TTAG projects. The Board approved investments that attracted matching funds from the private sector totaling \$40,712.

The Network received \$922,539 in federal funding from the U.S. Department of Commerce's National Institute of Standards and Technology Manufacturing Extension Partnership (NIST MEP) and \$475,626.29 from clients for assistance provided. The Network's impact reported in independent FY 2003 NIST MEP surveys indicates that over a 12-month period Arkansas companies (1) increased and/or retained sales of \$15,984,200, (2) provided cost savings of \$7,728,000, (3) created or retained 889 jobs, and (4) led to

company investments of \$1,823,700.

In November 2002, the Authority Board of Directors approved a resolution aligning the Network's strategic and operating plans with 360vu, a brand carried by certified MEP centers. The brand encompasses a business approach, set of services, and certification process. In April 2003, NIST MEP approved the Network to be a 360vu branded MEP center. Affiliation with the 360vu brand insures that the Network meets mutually agreed upon professional performance and delivery standards.

The Network also entered into partnership agreements with the Arkansas Quality Award (AQA) and with the Arkansas Department of Economic Development (ADED). The AQA partnership marks an effort to encourage small and medium-sized manufacturers to participate in the AQA process. Through the pursuit of process improvement and training, participating companies gain insight into best business practices, giving them the competitive edge to assure survival, growth and prosperity.

The Network's partnership with ADED will broaden the mutual services of both agencies. The partnership brings the Network and ADED together to increase participation of the state's manufacturers in workforce development initiatives, education and training programs, and other economic development activities by encouraging the utilization of joint resources between the Network and ADED where applicable. This cooperation supports the goal of both agencies to maintain business retention and business attraction efforts for the state.

Goal 4 – Become a more effective and efficient organization through the application of quality management. The Authority's Manufacturing Extension Network received the 2002 Arkansas Quality Commitment Award at the eighth annual award celebration ceremony held at the State House Convention Center on October 1, 2002. The Arkansas Quality Award was developed to provide opportunities for all organizations in the state to measure their progress in the journey of quality improvement.

As you can see from the goals and associated activities, the Authority had a productive year, although one during which investments in science and technology were much reduced, following the national economic trend of 2002. The remainder of this report gives an overview of specific investments.

With your ongoing support, the Authority will continue to meet the challenges of the new economy and efficiently and effectively carry out its mission. We are proud of our achievements and thank you for the opportunity to serve our state. We appreciate your support of the Arkansas Science & Technology Authority.

Sincerely,

Harry Ward, M.D., Chair, Board of Directors
John W. Ahlen, Ph.D., President

ABOUT THE AUTHORITY

The Authority was created by statute in 1983 with the mission to bring the benefits of science and advanced technology to the people and state of Arkansas. This mission is addressed by strategies to promote scientific research, technology development, business innovation, and math, science and engineering education.

The Authority is comprised of a Board of Directors, Advisory Committees and staff. The 14-member Board is appointed by the Governor to staggered four-year terms. The Board has three directors who are scientists or engineers, two directors who are representatives of academic institutions, five directors who represent the private sector, three directors who represent the private sector and have knowledge and experience in the field of manufacturing, and the Director of the Department of Higher Education (or the Director's designee).

The Authority's staff is led by the President, the chief executive officer, who is responsible for the agency's programs, services and support functions. The Authority's activities are divided into three programmatic areas that include research, development and technology.

The Board determines the allocation of funds to all projects supported by the Authority. Three standing committees, comprised exclusively of members of the Board, make recommendations to the full Board. Advisory Committees, comprised of Board and non-Board members, offer additional advice to the Authority. All of the Authority's activities are audited annually to ensure compliance with state and federal guidelines.

RESEARCH

STUART Grant and Mini-grant Programs

Purpose

The STUART Grant Program provides funds to Arkansas public middle school teachers to use technology for science instruction. The Mini-grant Program provides funds to Arkansas public middle school teachers to purchase consumable items for student hands-on experiences in science.

Program Description

The Authority's STUART Grant Program provides a \$6,000 award to five Arkansas teachers in grades five, six, seven, and eight to purchase a classroom participation system, a projector and a laptop computer. The Authority's Mini-grant Program provides a \$500 award to Arkansas teachers in grades five, six, seven, and eight to purchase consumable science materials.

Awards

The Authority received ninety-one Mini-grant applications from sixty-five schools. These schools comprise fifty-six school districts located in forty-three counties. The awards went to eighty-six teachers sixty-two schools in FY03. A total of \$43,000 was expended for Mini-grant awards during the initial year of the study.

Twenty-two applications for a STUART award were received from seventeen counties. The awards went to five schools. A total of \$30,000 was expended for STUART awards.

A total of 5,105 students participated in the first year of this study. Each student participating in the study was required to answer a pre-test to examine his or her attitude toward science at the beginning of the school year. These same students were given a somewhat different post-test of science attitude at the end of the school year.

Individual teacher final report comments have indicated a positive impact on the performance of their students. Some teachers have indicated that the Mini-grant awards enhanced their professional development by allowing them to involve their students in additional science experiences. The introduction of the new technology with the STUART Grants has been beneficial to both the students and the teachers. A few comments from the teachers in the study are included below.

“I am very pleased with the successes of my science students this year. Overall, student’s grades were higher. More importantly, their interests and attitudes were much improved. So was mine!”

“It was great having the extra money to try something new in my life science class. It gave the students the opportunity to first hand grow plants and better understand the development of plants. This was a wonderful hands on project.”

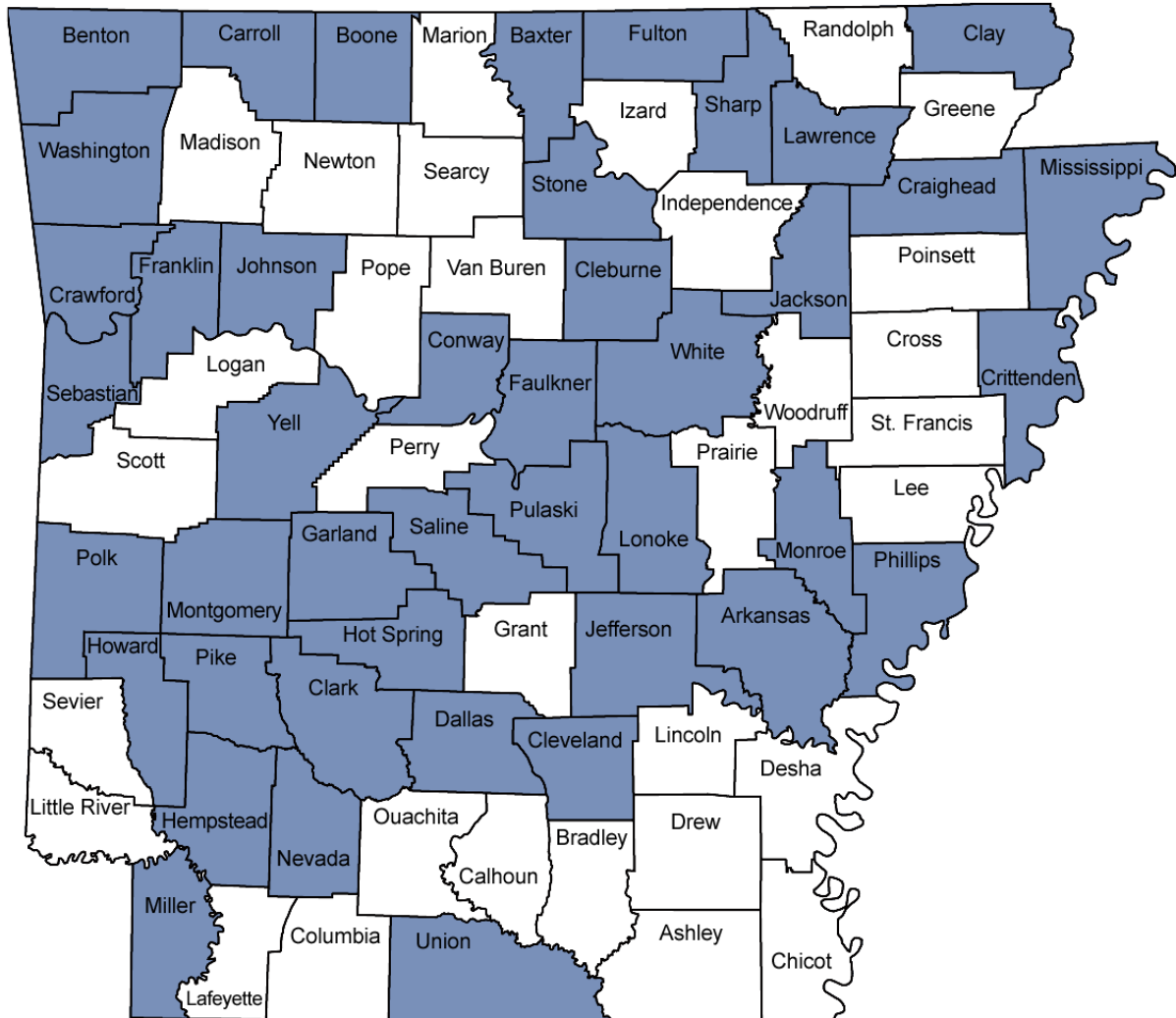
“Hands-on classroom activities help create a lifelong interest in science. Funds from this grant provided kits that were helpful in increasing student understanding. Students gained a curiosity about science which hopefully will carry on into high school years.”

“Attached you will find the SAT 9 scores for each participant for their fifth grade and sixth grade test. The average score for the participants as fifth graders was 34.7. This rose to 53 in sixth grade.”

Appendix A: Mini-grant Awards by County

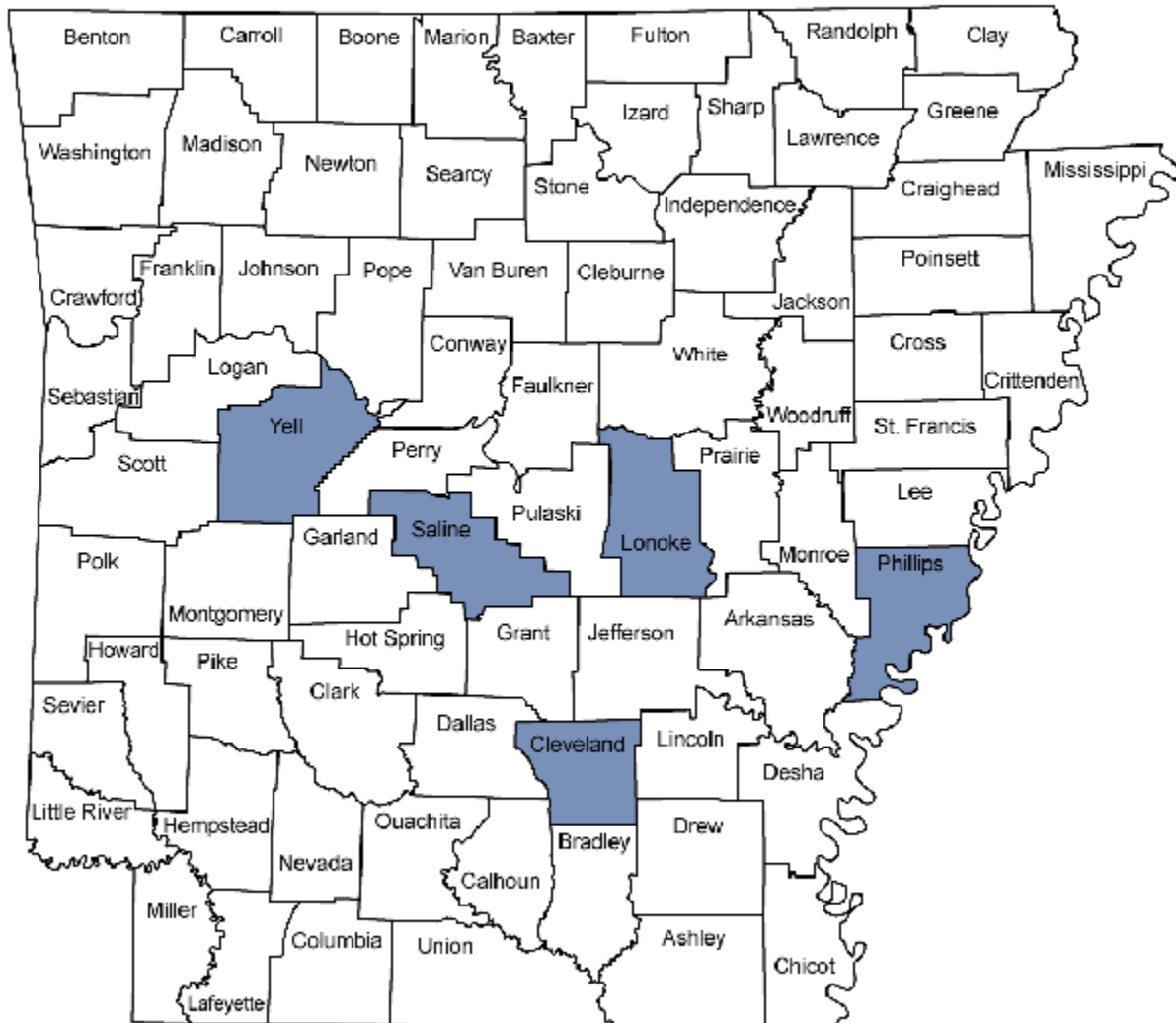
Eighty-six schools from 43 counties have been funded by the Mini-grant program.

A total of \$43,000 (\$500 x 86) has been awarded.



Appendix B: STUART Grant Awards by County

Five schools from five counties have received STUART Grants. A total of \$30,000 (\$6,000 x 5) has been awarded.



TECHNOLOGY

Technology Transfer Assistance Grant Program

Purpose

The Technology Transfer Assistance Grant Program (TTAG) assists Arkansas' enterprises in developing or improving products or processes through the transfer of technical solutions to technology-based, industry-driven problems, thus enhancing that enterprise's market competitiveness.

Program Description

The Authority provides limited financial support for the transfer and deployment of innovative technology. The Authority will fund up to \$3,750 of costs associated with transferring new or existing technology from a qualified applicant -- such as a public or private enterprise, laboratory, college or university -- to an enterprise based in Arkansas. Up to \$5,000 of total project costs will be considered, with the first \$2,500 funded by the Authority; the remaining \$2,500 is cost-shared equally (50:50) between the Authority and the enterprise. Each enterprise is eligible to receive assistance for two technology transfer projects per year. Projects are evaluated on a competitive basis.

Awards

In FY03, the Authority's Board of Directors authorized thirty-one TTAG projects totaling \$116,412.50 through TTAG to help clients solve technical problems. The private sector invested an additional \$39,437.50 in these solutions. These investments assisted twenty-eight separate companies, located in nine counties, including seven representing the following North American Industry Classification System (NAICS) groups:

Industry Type	Number
Computer and Electronic Product Manufacturing	2
Custom Computer Programming Services	1
Electrical Equipment, Appliance, and Component Manufacturing	1
Fabricated Metal Product Manufacturing	4
Furniture and Related Product Manufacturing	3
Machinery Manufacturing	1
Miscellaneous Manufacturing	2
Plastics Manufacturing	1
Professional, Scientific, and Technical Services	3
Research and Development in the Physical, Engineering, and Life Sciences	3
Retail Trade	1
Scientific Research and Development Services	1
Storage Battery Manufacturing	1
Testing Laboratories	4
Textile Product Mills	1
Used Household and Office Goods Moving	1
Wood Product Manufacturing	2
Total	32

Technology Transfer Assistance Grant Program – Continued

Service Area	Number
E-Commerce	3
Environmental	1
Market Development	4
Process Improvement	7
Product Development	2
Quality/Inspection	8
Small Business Innovation Research (SBIR) Assistance	7
Total	32

Client Company Profile	
Average Number of Employees	123
Average Age of Company	12 Years
Average Year of Corporation Founded	1995
Most Active Counties	Pulaski (7), Sebastian (7)
Average Authority Investment	\$3,637.89
Total Authority Investment	\$116,412.50
Average Client Investment	\$1,232.42
Total Client Investment	\$39,437.50

TECHNOLOGY

Arkansas Manufacturing Extension Network

Purpose:

The Arkansas Manufacturing Extension Network (Network) is designed to improve Arkansas' manufacturing and industrial competitiveness through the delivery of comprehensive technical and business assistance services.

Network Description:

The Network is an affiliate of the National Institute of Standards and Technology Manufacturing Extension Partnership (NIST MEP). It strives to improve the quality, productivity and global competitiveness of Arkansas' small and medium-sized manufacturers by providing technical and business management assistance services.

The Network's primary partners are the University of Arkansas, Fayetteville; Southern Arkansas University Tech, Camden; Arkansas State University, Jonesboro; the University of Arkansas at Little Rock; Winrock International, Morrilton; Arkansas Quality Award; and Arkansas Department of Economic Development.

Eight field staff deliver services to manufacturers. Typical services include Lean Manufacturing, Quality Management Systems, Six Sigma, Environmental, Health & Safety Management Systems, and General Technical and Management Assistance.

Awards:

For FY03, the Board authorized funding in the amount of \$997,476 to support the director and eight field staff: three at the University of Arkansas, Fayetteville; two at the University of Arkansas at Little Rock; one at Arkansas State University; one at Southern Arkansas University Tech; and one at Winrock International. The Board also authorized \$10,000 for partner activities.

The following improvements were reported by clients during the NIST MEP Survey of Network projects completed from April 2001-March 2002 with Arkansas companies:

Increased or Retained Sales	\$15,984,200
Cost Savings	\$7,728,000
Company Investments	\$1,823,700
Jobs Created or Retained	889

Arkansas Manufacturing Extension Network – Continued

In FY 03, Network field staff completed 63 Network projects of less than 8 hours and 256 projects greater than or equal to 8 hours in the following manufacturing industries and service areas.

Industry Type	Number
Beverage and Tobacco Product Manufacturing	2
Chemical Manufacturing	15
Computer and Electronic Product Manufacturing	11
Electrical Equipment, Appliance and Component Mfg.	13
Fabricated Metal Product Manufacturing	32
Food Manufacturing	10
Furniture & Related Product Manufacturing	13
Leather and Allied Product Manufacturing	6
Machinery Manufacturing	29
Miscellaneous Manufacturing	4
Nonmetallic Mineral Product Manufacturing	1
Paper Manufacturing	13
Plastics & Rubber Products Manufacturing	24
Primary Metal Manufacturing	16
Printing and Related Support Activities	5
Textile Mills	3
Textile Product Mills	1
Transportation Equipment Manufacturing	23
Wood Product Manufacturing	21
Other	14
Total	256

Service Area	Number
Automation/ Robotics	2
Business Systems/ Business Management	3
EDI/Communications/LAN	3
Environmental/Health/Safety	55
Human Resources	5
Market Development/Strategic Planning	5
Other	2
Plant Layout/ Manufacturing Cells	1
Process Improvement	138
Product Development and Design	12

Quality Management Systems	30
Total	256

Funding Received	
NIST Funding	\$922,539.00
Client Fees	\$475,626.29
Total	\$1,398,165.29

DEVELOPMENT

Seed Capital Investment Program

Purpose

The Seed Capital Investment Program (SCIP) fosters the development of innovative technology-based businesses and projects that will stimulate economic growth and industrial competitiveness in Arkansas.

Program Description

The Program assists in the initial capitalization or expansion of Arkansas-based businesses undertaking projects that are science or technology based and have a commercial or job creation potential. Each dollar invested by SCIP is leveraged by three dollars in matching funds from other sources. SCIP is limited to working capital and does not finance fixed assets.

Investment

The Board approved one SCIP investment in FY03 for a total of \$200,000.

Proposal	Company	Description	Funds Approved	Amount Dispersed
03-S-01	Space Photonics	Broadband access to aviation industry	\$200,000.00	\$0
Total			\$200,000.00	\$0*

*Authorization for this project expired and was not funded.

DEVELOPMENT

Technology Development Program

Purpose

The Technology Development Program (TDP) provides assistance in the development and commercialization of new technology-based products and processes through innovative technology development projects.

Program Description

The Program may provide monies to qualified applicants if their proposed project possesses a well-defined and comprehensive project plan and promotes the purpose of the Authority. The maximum award is limited by law to \$50,000. Awards are considered investments with terms negotiated on a case-by-case basis with a maximum 5 percent royalty on net sales for a maximum period of 10 years.

Investments

The Board approved one TDP investment of \$50,000 in FY03.

Proposal	Awardee	Description	Funds Approved
02-TDP-02	Green Technologies	Development of a reciprocating power stroke wheelchair	\$50,000.00
Total			\$50,000.00

FINANCIALS

GENERAL REVENUE	APPROPRIATION	Y-T-D			% OF BUDGET
CHARACTER	BALANCES	BUDGET	EXPENSE	BALANCE	
REGULAR SAL	\$514,965.00	\$489,245.00	\$489,243.83	\$1.17	100.00
EXTRA HELP	\$12,000.00	\$4,921.00	\$4,920.87	\$0.13	100.00
M & O	\$144,204.00	\$144,204.00	\$141,924.78	\$2,279.22	98.42
FRINGE	\$128,408.00	\$135,944.00	\$134,303.54	\$1,640.46	98.79
RESEARCH	\$1,083,750.00	\$0	\$0	\$0	0
RESERVE	\$0.00	\$0.00	\$0.00	\$0.00	0
CONFERENCE	\$27,223.00	\$14,504.00	\$11,945.64	\$2,558.36	82.36
PROF FEES	\$16,800.00	\$5,844.00	\$5,258.00	\$586.00	89.97
CAPITAL OUTLAY	\$20,500.00	\$2,726.00	\$2,722.44	\$3.56	99.87
M & R	\$0.00	\$0.00	\$0.00	\$0.00	0
TECH DEV	\$315,000.00	\$166,412.00	\$166,412.00	\$0.00	100
TOTAL ACT 12 of 2001	\$2,262,850.00	\$963,800.00	\$956,731.10	\$7,068.90	99.27
CASH	APPROPRIATION	Y-T-D			% OF BUDGET
CHARACTER	BALANCES	BUDGET	EXPENSE	BALANCE	
SEED CAPITAL	\$1,900,000.00	\$1,900,000.00	\$0.00	\$1,900,000.00	0
MINI-GRANTS		\$135,000.00	\$78,025.00	\$56,975.00	57.80
MEP FEDERAL	APPROPRIATION	Y-T-D			% OF BUDGET
CHARACTER	BALANCES	BUDGET	EXPENSE	BALANCE	
REGULAR SAL	\$257,339.00	\$128,050.00	\$119,838.49	\$8,211.51	93.59
M & O	\$128,000.00	\$124,456.00	\$68,500.22	\$55,955.78	55.04
FRINGE	\$63,815.00	\$34,564.00	\$32,724.79	\$1,839.21	94.68
GRANTS	\$200,000.00	\$200,000.00	\$170,535.46	\$29,464.54	85.27
CONF FEES	\$62,928.00	\$37,928.00	\$30,450.30	\$7,477.70	80.28
PROF FEES	\$50,000.00	\$50,000.00	\$30,000.00	\$20,000.00	60.00
CAPITAL OUTLAY	\$67,250.00	\$20,857.00	\$0.00	\$20,857.00	0
FIELD SERVICES	\$1,240,000.00	\$997,477.00	\$928,096.55	\$69,380.45	93.04
TOTAL	\$2,069,332.00	\$1,593,332.00	\$1,380,145.81	\$213,186.19	
GENERAL IMPROVEMENT	APPROPRIATION	BUDGET	ACTUAL	BALANCE	% OF BUDGET
APPROPRIATIONS	(Original)	(Plan)	(Expenditure)		
ARKANSAS RESEARCH MATCHING FUND	\$20,000,000.00	\$0.00	\$0.00	\$0.00	0
NASA SPACE GRANT CONSORTIUM	\$20,000.00	\$0.00	\$0.00	\$0.00	0
VIE PILOT PROJECT	\$6,894.00	\$6,893.00	\$0.00	\$6,893.00	0

BOARD OF DIRECTORS

Harry Ward, M.D. – Chair Professor of Medicine and Retired Chancellor University of Arkansas for Medical Sciences Little Rock, AR Term Expires 2006 <i>Authority Executive Committee Chair</i>	Charles Hathaway, Ph.D. Chancellor University of Arkansas at Little Rock Little Rock, AR Term Expires 2003
John White, Ph.D. – Vice Chair Chancellor University of Arkansas at Fayetteville Fayetteville, AR Term Expires 2006	D.W. May May and Associates Benton, AR Term Expires 2006
Ron Roberts – Secretary Little Rock, AR Term Expires 2006 <i>Authority Industry Committee Chair</i>	Sue McGowan Hometown Realty Paragould, AR Term Expires 2004 <i>Authority Investment Committee Chair</i>
Merlin Augustine, Ed.D. Financial Systems Coordinator University of Arkansas at Fayetteville Fayetteville, AR Term Expires 2005	Cynthia Moten Arkansas Department of Higher Education Little Rock, AR Term Permanent
Jonathan Davis President Davis Tractor, Inc. Monticello, AR Term Expires 2004	Neil Rutger, Ph.D. Director and Supervisory Research Geneticist Dale Bumpers National Rice Research Center USDA Agricultural Research Service Stuttgart, AR Term Expires 2005 <i>Authority Research Committee Chair</i>
David Eberdt Little Rock, AR Term Expires 2007	Melinda Saunders St. Paul, AR Term Expires 2003
Mary Good, Ph.D. University of Arkansas at Little Rock <i>**Replacement named during FY03</i>	Rickey Williams President & Chief Executive Officer of Rickey Williams & Associates, Inc. Little Rock, AR Term Expires 2003
J. Wylie Harris, Jr. Oil, Mining & Ranching Operations Salem, AR Term Expires 2005	

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